

# Notice of Allowability

Application No.

09/515,310

Examiner

Harold E. Dodds, Jr.

Applicant(s)

QUERNEMOEN, JOHN M.

Art Unit

2167

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 22 November 2004.
2. ☒ The allowed claim(s) is/are 7-21.
3. ☒ The drawings filed on 29 February 2000 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
6. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☒ Interview Summary (PTO-413), Paper No./Mail Date 022204
7. ☒ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_.

### EXAMINER'S AMENDMENT

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1:312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

2. Authorization for this examiner's amendment was given in a telephone interview with Brian N. Tufte on 18 February 2005.

3. The application has been amended as follows: Claims 1 has been cancelled and 3-6 have been cancelled.

### REASONS FOR ALLOWANCE

4. The following is an examiner's statement of reasons for allowance: The Examiner finds Applicant's arguments on pages 10-16 of the "Amendment" filed 21 May 2004 concerning a method for determining computer hardware requirements for a yet-to-be-built database management system server using user defined workload requirements persuasive as applied to independent claim 7. The combinations of prior art from Stellwagen, Jr. (U.S. Patent No. 5,835,755) and Blake et al. (U.S. Patent No. 6,067,412) neither render obvious nor anticipates the combination of recited elements in light of claim 7. In particular, the combination of Stellwagen and Blake does not render obvious the phrase "a ratio of said calculated transactions per second to said baseline transactions per second."

5. The Examiner finds Applicant's arguments on page 9 of the "Amendment" and the "Supplemental Declaration Under Rule 1.131" both filed 21 May 2004

### EXAMINER'S AMENDMENT

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.
2. Authorization for this examiner's amendment was given in a telephone interview with Brian N. Tufte on 18 February 2005.
3. The application has been amended as follows: Cancel claim 1 and cancel claims 3-6.

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4. The following is an examiner's statement of reasons for allowance: The Examiner finds Applicant's arguments on pages 10-16 of the "Amendment" filed 21 May 2004 concerning a method for determining computer hardware requirements for a yet-to-be-built database management system server using user defined workload requirements persuasive as applied to independent claim 7. The combinations of prior art from Stellwagen, Jr. (U.S. Patent No. 5,835,755) and Blake et al. (U.S. Patent No. 6,067,412) neither render obvious nor anticipates the combination of recited elements in light of claim 7. In particular, the combination of Stellwagen and Blake does not render obvious the phrase "a ratio of said calculated transactions per second to said baseline transactions per second."
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concerning a method for determining computer hardware requirements for a yet-to-be-built database management system server using user defined workload [requirements] persuasive as applied to independent claims 8, 16, and 21. The combinations of prior art from Stellwagen, Jr. (U.S. Patent No. 5,835,755) and Yang et al. (U.S. Patent No. 6,542,854) do not render obvious nor anticipate the combination of recited elements in light of claims 8, 16, and 21. The "Supplemental Declaration Under Rule 1.131" meets all criteria that show the invention claimed in claims 8, 16, and 21 was invented by the applicant prior to the filing date of the Yang patent on 30 April 1999. No adequate prior art with an earlier filing date has been found to replace the Yang patent. The affidavit relates the invention to a file containing an E-mail message of an updated version of the NT sizer program, which was completed and distributed to a number of recipients prior to 30 April 1999. The distribution to number of recipients meets the corroboration requirement "in order to establish an actual reduction to practice, an inventor's testimony must be corroborated by independent evidence" per *Cooper v. Goldfarb*, 154 F.3d 1321, 1330, 47 USPQ2d 1896, 1903 (Fed. Cir. 1998). The NT Sizer User Guide was not published prior to 28 February 1999, which is one year prior to the filing date of the patent application. The affidavit maps the elements in the independent claims to the corresponding elements in the disclosure of the NT Sizer User Guide.

### CONCLUSION

6. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should

Art Unit: 2167

preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harold E. Dodds, Jr. whose telephone number is (571)-272-4110. The examiner can normally be reached on Monday - Friday 8:00 - 4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E. Breene can be reached on (571)-272-4107. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

*Harold E. Dodds, Jr.*

Harold E. Dodds, Jr.  
Patent Examiner  
February 22, 2005

  
G. E. ROBINSON  
PRIMARY EXAMINER